

Event Vetting

Government employees, particularly high-level officials like United States Attorneys, are subject to ethical restrictions governing the types of events they may attend. Some restrictions relate to benefits, including luncheons, dinners, awards, and tokens of appreciation they may accept. Other restrictions relate, among other things, to participation in events that are sponsored by persons who do business with or lobby the Government; that have a fundraising component; where it may appear that official attendance is being used to promote the event or the sponsor; or where elected officials may be in attendance. To assist us in vetting compliance with government ethical restrictions, we would appreciate it if you could provide the following information. If you do not have specific information for each response, please provide such general or descriptive information as you currently have. Please do not hesitate to call the Office's Government Ethics Advisor, (b)(6), (b)(7)c, at (b)(6), (b)(7)c or e-mail him at (b)(6), (b)(7)c to discuss this.

1. Name, date and time, and location of event.

Outlook 2014, October 16, 8am-6pm & October 17, 8am-2pm. The Pierre Hotel, 2 E. 61st Street, New York, NY 10065.

2. Format of event (*e.g.*, cocktails; presentations; speeches; and/or meal).
One and half day conference with panel discussions, keynote speeches and lunch presentations. Preet Bharara is invited to speak at 9:00am on Friday, October 17 for a General Session presentation.
3. Estimated cost per attendee of event.
Meal costs per attendee are \$330. Net conference expenses per attendee, inclusive of all expenses, would be \$825 for the 1 ½ event. Registration fees are noted below.
MFA Members- \$2250
Non-Members- \$3250
Qualified End Investors- Complimentary
Regulator/Policy Maker- \$200 (generally regulators and policy makers attend only one day and do not stay for the closing cocktail reception)
4. Are any attendees being charged to attend the event?
If so, who (in general) is being offered free attendance, and who is expected to pay?
General attendees of the conference are expected to pay except for invited and confirmed speakers and qualified end investors.
5. Name of entity extending the invitation and link to web site (if any).
Managed Funds Association (MFA)
 - a. Does the entity extending the invitation engage in lobbying?
Yes
6. Sponsor of event if different from above.

- a. Does the sponsor of the event engage in lobbying?
7. Names of additional entities that will be recognized for sponsorship or support of the event.
Credit Suisse, Deutsche Bank, J.P. Morgan, KPMG, CME Group, Societe Generale, PWC, CBOE Futures Exchange, Citi, Deloitte, Ernst & Young, Eurex, Goldman Sachs, Lowenstein Sandler, Northern Trust, Proskauer, State Street, Advent, Arthur Bell Certified Accountants, BATS Global Markets, Baker & Hostetler, Baker Tilly Virchow Krause, LLP, Bank of America Merrill Lynch, ConceptONE, Globe Tax Services, Jefferies Bache, Northpoint Financial, Raich End Malter & Co. LLP, Sidley Austin LLP, TriNET.
8. How many persons are expected to attend?
Between 350-400 people
9. Demographics of expected attendees (*e.g.*, lawyers; law enforcement; business leaders; students; etc.) General Counsels, Chief Compliance Officers, Chief Financial Officers, Chief Risk Officers, Vice Presidents, Managing Directors, Partners, Business Development Officers, Founders, Chief Investment Officers, Analysts, Sales Directors, etc.
10. Are any elected officials expected to attend and, if so, what is their expected role?
Yes, The Honorable Bill Lockyer, Treasurer of the State of California The each have been invited to speak on a panel and provide their insite and expertise on the topic being discussed.
11. Is there a fundraising component to the event? (*e.g.*, program advertisements; dinner ticket price; silent auction)? If so, please describe.
No
12. Expected role of U.S. Attorney (*e.g.*, simple attendance; remarks; speech)
Keynote Presentation and Armchair Chat on Friday, October 17 at 9:00am- 9:45am.
13. If the U.S. Attorney is being honored:
No
 - a. What are the criteria your organization applies to determine who should be honored for this specific award?

- b. What is the internal process by which your organization selects potential honorees?
- c. For what specific public service or achievement do you wish to honor the U.S. Attorney?
- d. Did any of the accomplishments of the U.S. Attorney which you wish to honor directly affect the organization or its members? (Describe.)
- e. Do any of the board members or host committee or senior staff have any matters pending before or involving the United States Attorney's Office for the Southern District of New York?
- f. Please provide a description and the value of any award item (if the award item is a plaque, certificate or trophy of little intrinsic value, you may so indicate).
- g. Who else is expected to be honored at the event?

14. If the U.S. Attorney is making a presentation, who else is expected to be making a presentation/be on a panel?

He will open with a keynote speech delivered alone and then sit down with Mr. Michael C. Neus, Managing Director and General Counsel of Perry Capital L.L.C. for a one-on-one armchair chat.

- a. Will the U.S. Attorney be presented with a token or memento in appreciation for his presentation?
 - i. ☒ Nothing
 - ii. ☐ Plaque or other memento of little intrinsic value
 - iii. ☐ Other. Please describe, including its value.

15. Describe any special seating arrangements for U.S. Attorney, *e.g.*, dais, general seating (depending on the nature of the event, the U.S. Attorney may or may not be able to accept "dais" seating.)

The set-up is a dais format with the audience sitting classroom style in the ballroom of The Pierre Hotel.

16. Promotion of the event: please provide a copy of or link to the invitation/promotional material for the event (or if not available, for the prior year's event).

<http://mfa.informz.net/InformzDataService/OnlineVersion/Ind/bWFpbGluZ0luc3RhbmNlSWQ9NDI0OTA2MCZzdWJzY3JpYmVySWQ9MTAyNzkyOTc4Mw==>

<http://mfa.informz.net/InformzDataService/OnlineVersion/Ind/bWFpbGluZ0luc3RhbmNlSWQ9NDI5MDUzMjZzdWJzY3JpYmVySWQ9MTAyNzkyOTc4Mw==>